

Violation Number	Court's Ruling	Not Customer "A" or "E" from the subject 295 SARs
280	Out of 1,105 SARs where there is an allegation of a deficient narrative for lack of information known as the five essential elements, only 295 of those SARs did not include an allegation of a red flag deficiency. The 295 SARs involve transactions from Customers "A", "C", and "E." SJ is granted as to Customers "A" and "E" based on related litigation discussed in other parts of the Order. SJ is not granted as to Customer "C" because of factual question.	Not Customer "A" or "E" and no other alleged red flag violations.